

ANNEX G
CONSTRUCTION - CONTINUING AUTHORITIES PROGRAMS
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ANNEX G
CONTINUING AUTHORITIES PROGRAM

G-1. General.

a. The CAP is a group of 10 legislative authorities under which the Secretary of the Army, acting through the Chief of Engineers, is authorized to plan, design, and implement certain types of water resources projects without additional project specific congressional authorization. The purpose of the CAP is to plan and implement projects of limited size, cost, scope, and complexity. Although there is no specific minimum project size or cost, very small projects are not pursued under CAP as they should be implemented by other Federal or non-Federal entities, and large or complex problems are pursued under the specifically authorized programs. The table below lists the CAP authorities and their project purposes.

b. General Requirements. Projects recommended for implementation pursuant to CAP authorities must be justified, formulated, and implemented in accordance with the requirements discussed in ER 1105-2-100. There are two phases for CAP projects.

(1) Feasibility Phase.

(2) Design and Implementation Phase.

CAP AUTHORITIES

AUTHORITY	PROJECT PURPOSE
Section 14, Flood Control Act of 1946, as amended	Streambank and shoreline erosion protection of public works and non-profit public services
Section 103, River and Harbor Act of 1962, as amended (amends Public Law 79-727)	Beach erosion and hurricane and storm damage reduction
Section 107, River and Harbor Act of 1960, as amended	Navigation improvements
Section 111, River and Harbor Act of 1968, as amended	Shore damage prevention or mitigation caused by Federal navigation projects
Section 145, Water Resources Development Act of 1976, as amended	Placement of dredged material on beaches
Section 204, Water Resources Development Act of 1992, as amended	Beneficial uses of dredged material
Section 205, Flood Control Act of 1948, as amended	Flood control
Section 206, Water Resources Development Act of 1996, as amended	Aquatic ecosystem restoration
Section 208, Flood Control Act of 1954, as amended (amends Section 2, Flood Control Act of August 28, 1937)	Removal of obstructions, clearing channels for flood control
Section 1135, Water Resources Development Act of 1986, as amended	Project modifications for improvement of the environment

G-2. CAP Budget Restrictions.

a. Categorical Restrictions. In accordance with ER 1105-2-100, the following categories of work shall not be submitted for budgeting in CAP unless specific legislative direction is provided. If projects of these types are proposed for CAP budgeting, the legislative authority must be specified in the remarks data field.

- Study only activities.
- Projects to implement or replace any portion of a project specifically authorized by Congress.
- Projects that nullify or change an existing condition of non-Federal responsibility required for a project specifically authorized by Congress or implemented under a CAP authority.
- Adoption of a non-Federal project for future maintenance at Federal expense.

- Restoration of completed Corps projects to their authorized dimensions.
- Required non-Federal maintenance at a Federally constructed project.
- Correction of design deficiencies on another CAP project or a specifically authorized project.

b. Funding Limits.

(1) Feasibility Phase Funding Limits. For projects without an FCSA date scheduled prior to October 2008, the cumulative total of prior feasibility allocations plus the amounts requested for feasibility in increments 1-8 will not exceed the amounts shown below. Any project specific waivers to this restriction will be documented in the remarks. Place any additional feasibility capability in increment 9.

- For Sections 206 and 1135 projects with Feasibility phase initiated after January 2006, not more than \$100,000.
- For all other Sections not more than \$100,000.

(2) D&I Phase Funding Limits.

For CAP projects with an executed PCA, the total cumulative request for the D&I phase in increments 1-3 will not exceed the PY obligation capability. Place additional capability amounts in increments 4-8.

For CAP projects without a PCA date scheduled prior to October 2008, the cumulative D&I requests in increments 1-8 will equal one of the following options.

- The amount required to complete full funding of the D&I phase. Or,
- For projects continuing design pursuant to the provisions of Appendix F, the PY obligation capability for design. Or,
- Not more than \$50,000 (cumulative) to initiate D&I and negotiate a PCA. If this option is chosen, then place any additional D&I capability in increment 9.

c. Federal Participation Limits. CAP budget submissions shall comply with the limits given in ER 1105-2-100, Table F-2. The table is reproduced here for emphasis.

ER 1105-2-100, TABLE F-2 STATUTORY FEDERAL PARTICIPATION LIMITS

Authority	Per Project Limit (\$)	Annual Program Limit (\$)
Sec 14	1,000,000	15,000,000
Sec 103	3,000,000	30,000,000
Sec 107	4,000,000	35,000,000
Sec 111	5,000,000	N/A
Sec 145	N/A	N/A
Sec 204	N/A	15,000,000
Sec 205	7,000,000	50,000,000
Sec 206	5,000,000	25,000,000
Sec 208	500,000	7,500,000
Sec 1135	5,000,000	25,000,000

G-3. Coordination Account. Coordination account funds are not budgeted against specific projects. Coordination account funds will be prepared by HQ. Coordination activities related to on-going projects are funded in budget activities for that project's funding account.

G-4. Appropriation Account. CAP projects will be budgeted in accordance with the table shown below. Budget instructions for the applicable account apply. For example, include sections 111, 145, and 204 when applying the 75% limit given in the O&M instructions. CCS codes to use for sections 111, 145, and 204 are given in the O&M instructions.

CAP Section	Appropriation Account for Budgeting
14	Construction
103	Construction
107	Construction
111	O & M
145	O & M
204	O & M
205	Construction
206	Construction
208	Construction
1135	Construction

G-5. Increments Criteria. CAP budget items shall be assigned to Increments and ranked using a performance based analysis of incremental benefits to be realized by incremental increases in overall program funding. Put unbudgetable items in increment 9. For each increment, if there are multiple independent activities or contracts for a given project, then itemize requests for each separable activity or contract. Only items meeting the inclusion criteria may be included in a given increment. As stated in the Main EC, contracts of \$20 million or less are to be fully fund.

a. Increment 1 – Inclusion and exclusion criteria:

- Includes continuing or new items for phases that were budgeted for in PY-1.
- Excludes new phases and items requiring initiation of new phases.
- Excludes items for projects that have been terminated, completed, funded for completion, or which are no longer likely to produce an eligible project.
- Excludes unbudgetable items.

b. Increment 2 – Inclusion and exclusion criteria:

- Includes items for previously funded phases.
- Excludes new phases and items requiring initiation of new phases.
- Excludes unbudgetable items.

c. Increment 3 – Inclusion and exclusion criteria:

- Includes items for continuing or new phases to sustain the efficient PMP project schedule.
- Excludes items which advance the efficient project schedule.
- Excludes unbudgetable items.

d. Increments 4-8 – Inclusion and exclusion criteria:

- Includes additional capability amounts for continuing or new phases to enhance or advance the PMP project schedule.
- Excludes unbudgetable items.

e. Increment 9 – Inclusion and exclusion criteria:

- Includes unbudgetable items. Explain in remarks why the item is not budgetable.
- Excludes budgetable items.

G-6. Program Ranking Criteria. All CAP budget items shall be ranked using performance based analysis. District and MSC Rankings shall use consecutive integer numbers beginning with the number one. The entire CAP Program shall be ranked across all CAP Sections. Each item must have a unique ranking number.

G-7. Data Elements and Ranking Method.

a. General.

(1) Unless specified otherwise, all costs are to be entered in units of \$1,000.

(2) All dates are entered in calendar date form as YYYY-MM-DD.

(<http://www.iso.org/iso/en/prods-services/popstds/datesandtime.html>)

(3) If data is not available or not applicable, then enter NA.

b. Data definitions and ranking method are given in the attached Excel workbook.



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spreadsheets.xls